

NORTH CAROLINA BOARD OF LICENSED PROFESSIONAL COUNSELORS

Program Records Retention and Disposition Schedule

The Program Records Retention and Disposition Schedule and retention periods governing the records series listed herein are hereby approved. In accordance with the provisions of Chapters 121 and 132 of the General Statutes of North Carolina, it is agreed that the records of the

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do not and will not have further official use or value for administrative, research, or reference purposes after the respective retention periods specified herein. The N.C. Department of Cultural Resources consents to the destruction or other disposition of these records in accordance with the retention and disposition instructions specified in this schedule. However, records subject to audit or those legally required for ongoing official proceedings must be retained until released from such audits or official proceedings, notwithstanding the instructions of this schedule. **Public records including electronic records not listed in this schedule or in the *General Schedule for State Agency Records* are not authorized to be destroyed.**

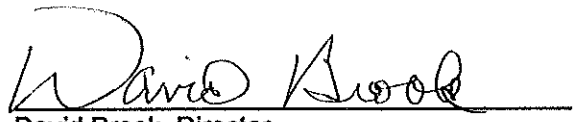
The

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agrees to destroy, transfer or dispose of records in the manner and at the times specified herein. This schedule is to remain in effect until superseded.

APPROVAL RECOMMENDED


Jennifer Robertson, Administrator
N.C. Board of Licensed Professional Counselors


David Brook, Director
Division of Historical Resources

APPROVED


Christine Greene, Chairperson
N.C. Board of Licensed Professional Counselors


Linda A. Carlisle, Secretary
Department of Cultural Resources

February 19, 2009

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ITEM 48357. NORTH CAROLINA BOARD OF LICENSED PROFESSIONAL COUNSELORS MINUTES FILE

Official minutes of meetings of the board.

DISPOSITION INSTRUCTIONS: Transfer a duplicate copy of the official signed minutes to an off-site storage location after each meeting for security storage. Arrange for delivery of original minutes to the State Records Center after 1 year to be microfilmed. (Agency personnel should contact the Imaging Unit, Collection Management Branch, to arrange for transfer of original minutes for microfilming.) Paper records will be destroyed in the State Records Center after microfilming. After completion of microfilming and all quality control procedures, the original copy (silver-halide) of microfilm will be stored permanently in the Archives microfilm vault. Destroy duplicate copies in the off-site storage location after the original records have been microfilmed.

ITEM 48358. GENERAL CORRESPONDENCE FILE

Records in paper and electronic formats of correspondence and memoranda received and/or written in the office concerning daily operations and inquires regarding licensing procedures.

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 1 year.

ITEM 48359. BOARD CORRESPONDENCE FILE

Records in paper and electronic formats of correspondence and memoranda written and/or received by the board concerning the implementation of the board's policies.

DISPOSITION INSTRUCTIONS: Print electronic records and interfile with related paper records. Destroy in office electronic versions of records when administrative value ends. Transfer paper records to the State Records Center after 3 years for immediate transfer to the custody of the Archives.

ITEM 48360. OATHS OF OFFICE FILE

Records concerning oaths of office of board members. File also includes appointment letters of board members.

DISPOSITION INSTRUCTIONS: Retain in office permanently.

ITEM 48361. TAX AND AUDIT FORMS FILE

Completed tax forms submitted to the Internal Revenue Service (IRS). File also includes annual audits.

DISPOSITION INSTRUCTIONS: Destroy in office after 7 years if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48362. CORPORATIONS AND LIMITED LIABILITY COMPANIES FILE

Records concerning licensed professional counselors who apply to form professional corporations, associations, or limited liability companies. File includes correspondence, applications for certificates of registration, articles of incorporation, and other related records. Data is entered into the Corporations and Limited Liability Companies Database (Electronic) File (Item 48392).

DISPOSITION INSTRUCTIONS: Destroy in office after 2 years.

ITEM 48363. DISCIPLINARY (NO ACTION) FILE

Records concerning complaints and/or inquires involving the practice of counseling by licensed professional counselors that led to no action being taken by the board. File includes complaints, board decisions, and related correspondence. Data is entered into the Disciplinary Action Database (Electronic) File (Item 48393). (Comply with applicable provisions of 42 C.F.R. 2.1 and G.S. 122C-25 regarding the confidentiality of substance abuse patient records.)

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after resolution of case if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

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ITEM 48365. NON-DISCIPLINARY ACTION FILE

Records concerning complaints and/or inquires involving the practice of counseling by licensed professional counselors that led to non-disciplinary action by the board. File includes complaints, board decisions, and related correspondence. Data is entered into the Disciplinary Action Database (Electronic) File (Item 48393). (Comply with applicable provisions of 42 C.F.R 2.1 and G.S. 122C-25 regarding the confidentiality of substance abuse patient records.)

DISPOSITION INSTRUCTIONS: Destroy in office 5 years after resolution of case if no litigation, claim, audit, or other official involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved.

ITEM 48366. DISCIPLINARY ACTION FILE

Records concerning complaints and/or other inquires involving the practice of counseling by licensed professional counselors that led to disciplinary actions by the board. File includes complaints, board decisions, and related correspondence. File also includes, when applicable, hearing transcripts and exhibits. Data is entered into Disciplinary Action Database (Electronic) File (Item 48393). (Comply with applicable provisions of 42 C.F.R 2.1 and G.S. 122C-25 regarding the confidentiality of substance abuse patient records.)

DISPOSITION INSTRUCTIONS: Destroy in office hearing transcripts and exhibits when administrative value ends if no litigation, claim, audit, or other official action involving the records has been initiated. If official action has been initiated, destroy in office after completion of action and resolution of issues involved. Destroy in office remaining records after entry into database and completion of all quality control procedures.

ITEM 48367. LICENSING (ACTIVE) FILE

Records in paper and electronic formats concerning each currently licensed professional counselor. File includes applications, examination scores, transcripts, professional disclosure statements, supervised professional practice records, renewal documentation, correspondence, and other related records. (Comply with applicable provisions of 5 USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Transfer records of inactive licensed professional counselors to the Licensing (Lapsed) File (Item 48368) when license is expired or revoked. Transfer records of deceased licensed professional counselors to Licensing (Deceased) File (Item 48369) when officially notified that licensee is deceased. Destroy in office remaining records 3 years after data is entered into the Licensing Database (Electronic) File (Item 48394).

ITEM 48368. LICENSING (LAPSED) FILE

Records concerning formerly licensed professional counselors whose licenses have been revoked or have expired due to failure to renew or retirement.

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after data is entered into the Licensing Database (Electronic) File (Item 48394).

ITEM 48369. LICENSING (DECEASED) FILE

Records concerning formerly licensed professional counselors who are now deceased. Data is entered into the Licensing Database (Electronic) File (Item 48394).

DISPOSITION INSTRUCTIONS: Destroy in office 3 years after receiving official notification of death of licensee.

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ITEM 48370. APPLICATION (ACTIVE) FILE

Records in paper and electronic formats concerning applicants wanting to acquire licensure as licensed professional counselors. File includes application requests, applications, examination scores, transcripts, professional disclosure statements, supervised professional practice records, and related correspondence. (Comply with applicable provisions of 5 USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records of requests for applications after 2 years. Transfer paper and electronic records of applicants who obtained licensure to the Licensing (Active) File (Item 48367). Transfer remaining paper and electronic records to Application (Denied) File (Item 48371).

ITEM 48371. APPLICATION (DENIED) FILE

Records in paper and electronic formats concerning applicants wanting to acquire licensure as a licensed professional counselor, but have been denied due to exceeding the time limit, record number of examination failures, or were denied licensure by board action. File includes requests, applications, examination scores, transcripts, professional disclosure statements, supervised professional practice records, and related correspondence. (Comply with applicable provisions of 5 USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.)

DISPOSITION INSTRUCTIONS: Destroy in office paper and electronic records after 5 years.

ITEM 48372. EXAMINATION AND LICENSURE CORRESPONDENCE FILE

Correspondence and inquires concerning licensure as licensed professional counselors in North Carolina. File includes examinations, requests, and other related records.

DISPOSITION INSTRUCTIONS: Destroy in office examination records after 3 years. Destroy in office remaining records after 1 year.

ITEM 48392. CORPORATIONS AND LIMITED LIABILITY COMPANIES DATABASE (ELECTRONIC) FILE

Electronic records concerning professional corporations, associations, and/or limited liability companies. Electronic file includes correspondence, applications for certificate of registration, articles of incorporation, and other related data. Data is entered into this database from Corporations and Limited Liability Companies File (Item 48362). (Comply with applicable provisions of 5 USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.) (File maintenance and backup procedures are conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Destroy in office 3 years after dissolution of the professional corporation, association, or limited liability company by the Secretary of State.

ITEM 48393. DISCIPLINARY ACTION DATABASE (ELECTRONIC) FILE

Electronic records concerning complaints and/or inquiries involving the practice of counseling by licensed professional counselors. Electronic file includes complaints, board decisions, and related correspondence. Electronic file also includes hearing transcripts and exhibits. Data is entered into this database from Disciplinary (No Action) File (Item 48363), Non-Disciplinary File (Item 48365), and Disciplinary Action File (Item 48366). (Comply with applicable provisions of 42 C.F.R 2.1 and G.S. 122C-25 regarding the confidentiality of substance abuse patient records.) (File maintenance and backup procedures are conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.

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ITEM 48394. LICENSING DATABASE (ELECTRONIC) FILE

Electronic records concerning active licensed professional counselors, lapsed licensed professional counselors, and deceased licensed professional counselors. Electronic file includes applications, examination scores, transcripts, professional disclosure statements, supervised professional practice records, renewal documentation, correspondence, and other related data. Data is entered into this database from the Licensing (Active) File (Item 48367), Licensing (Lapsed) File (Item 48368), and Licensing (Deceased) File (Item 48369). (Comply with applicable provisions of 5 USC Section 552a and G.S. 93B-14 regarding the confidentiality of records maintained on individuals.) (File maintenance and backup procedures are conducted by LAN administrator.)

DISPOSITION INSTRUCTIONS: Update in office routinely. Retain in office permanently.